JPR 1440.3B
(replaces SLP 4.16)

JSC Files and Records Management Procedures

IA/Information Resources Directorate

December 2004

Revision B

Verify that this is the correct version before use.

National Aeronautics and
Space Administration

Lyndon B. Johnson Space Center
Houston, Texas

JSC Files and Records Management Procedures

Rev. B

December 2004

Approved by

Robert D. Cabana, Deputy Director

Change Record

Rev.	Date	Originator/Phone	Description
Basic	8/01	GS: Patti Stockman	Initial release.
A	01/04	IS2: Nancy Hutchins, X34006	• Replaced ISD with IRD to indicate the merging of the Information Systems Directorate and the CIO Office. • Added mandatory requirement for Inventory of records and annual submittal of JSC Form 1229 (§1.6) • Added explanation that boxes cannot have box contents written on the outside of the records box (§4.4.4) • Corrected links throughout document • Changed NPG 1441.1 to NPR 1441.1 throughout.

B	12/04	IM/Nancy Hutchins, extension 34006	The following changes were incorporated into this directive. • Added para. 1.5, Records and Forms • Included in para. 1.6.3, that the RM is responsible for coordinating with individuals clearing the Center to ensure that all records contained in file cabinets and servers are transferred to their first-line supervisor or individual taking over the function. • Added responsibility in para. 1.6.5 that the Organizational Records Coordinator is responsible for coordinating the annual submittal of the JSC Form 1229 and ensuring that the forms are submitted to the JSC RM • Added paragraph 1.6.4 for the retiring employee to be responsible for transferring files to their supervisor. (CA 1623) • Added Figure 2.1 (Chapter 2), sample of a completed JSC Form 1229, as an aid to completing the annual submittal of a Records Inventory. (CA 1625) Converted to requirements document. Records hints and guidelines have been moved to Appendix A.

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JSC Files and Records Management Procedures

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Chapter 1: General

1.1 Policy

The Johnson Space Center (JSC) Records Management Program is conducted as prescribed by this document and by NPD 1440.6, NASA Records Management, and NPR 1441.1, NASA Records Retention Schedules. JSC operates under a decentralized filing plan that uses, to the greatest extent possible, uniform, economical, and efficient practices to maintain current records. Both record and non-record files are arranged and grouped functionally to provide for rapid filing, ready reference, and prompt disposition.

This directive is a required procedure of the JSC Quality Management System, formerly documented as JSC SLP 4.16.

1.2 Applicability

This procedure is applicable to all JSC civil servants and contractors who create and/or maintain NASA-owned records.

1.3 Authority

36 CFR Chapter XII, Subchapter B, Records Management

NPD 1440.6, NASA Records Management

1.4 References

ISO 9001-2000,Quality Management Systems--Requirements

JPR 1382.8, Privacy Act of 1974

JPR 2810.1, Johnson Space Center Information Technology Handbook

JSC-05900, JSC Emergency Preparedness Plan

NPR 1441.1, NASA Records Retention Schedules

1.5 Records and Forms

1.5.1 Records

Training Records (maintained by Human Resources)

List of Organizational Records Coordinators (maintained by IRD)

1.5.2 Forms

See Appendix D.

1.6 Responsibilities

1.6.1 Directorate Level Organization (DLO) and Heads of Contractor Organizations

DLOs and heads of contractor organizations must comply with the records management policy stated in NPD 1440.6. They shall implement internal records management practices that meet organizational needs and are compatible with requirements of this document. This includes (1) designating trained records custodians as appropriate, (2) designating trained records coordinator(s) at the division-level or above, (4) designating official file stations where appropriate and (5) designating the organization's vital records, if applicable, and custodians to manage them.

DLOs shall ensure annual submittal of Records Series Inventories to the JSC Records Manager (RM) in accordance with §1.6.2 and §2.1 of this document, as well as inventories of Vital Records in accordance with §4.5.

1.6.2 Office of Procurement

In accordance with NPD 1440.6, the “NASA Center Directors shall ensure that organizations generating statements of work for contracts include appropriate records management requirements to comply with this NPD and its authorities in all NASA contracts involving creation or maintenance of Federal records.”

1.6.3 Information Resources Directorate (IRD)

IRD is responsible for the overall direction of the JSC Records Management Program. Specifically, IRD will designate a JSC Records Manager (RM) to guide and oversee files and records management at JSC. Through the records management function, the IRD will provide technical assistance and procedural advice, as needed, on creating, maintaining, using, and disposing of Federal records, and will ensure provision of training for records custodians.

1.6.3.1 JSC Records Manager

The JSC RM develops and guides the overall implementation of records management activities at JSC. The RM is the point of contact with Center and Agency management as well as with other agencies and outside individuals on records management topics. In addition, the RM plans and leads the execution of Center-wide initiatives such as organizational records inventorying and scheduling activities, and the development of electronic record management policy/procedures.

The JSC RM is responsible for technical guidance in managing records from creation through their disposition; and is responsible for developing a comprehensive training program for civil servant employees including managers, records coordinators, and custodians as well as JSC contractors who create or maintain NASA-owned records. In addition, the RM conducts records management reviews of file indices, filing systems, and record inventories as necessary; reduces record holdings; and manages archival activities. Finally, the JSC RM is responsible for the on-site JSC Records Staging and Storage Facility and its contents.

The JSC RM is responsible for coordinating with individuals clearing the Center to ensure that all records contained in file cabinets and servers are transferred to their first-line supervisor or individual taking over the function.

1.6.4 Retiring or Transferring Employee

The JSC employee retiring or transferring is responsible for ensuring that all non-records are disposed of and record material (including electronic files) is transferred to their supervisor or the individual taking over the function. This includes any e-mail containing substantive information that would be valuable to the continuing operation of the NASA programs.

1.6.5 Organizational Records Coordinator

The Organizational Records Coordinator is the organizational point of contact with the JSC RM and disseminates records management information on matters concerning maintenance, use, and disposition of organizational records to the records custodians within the organization. They know how to access and apply the records management directives and guidelines referenced in this document; periodically consolidate records data received from organization records custodians and submit the information to the JSC RM; and attend records management training and periodic records custodian briefings. They also consult with the JSC RM regarding problems that affect maintenance, use and disposition of organizational records. The Organizational Records Coordinator is also responsible for coordinating the annual submittal of the JSC Form 1229 and ensuring that the forms are submitted to the JSC RM.

1.6.6 Organizational Records Custodians

Organizational Records Custodians understand record keeping requirements and know how to access and apply the records management directives and guidelines referenced in this document. Records custodians ensure that official file stations and other records storage areas within their organization are arranged in accordance with NPR 1441.1, NASA Records Retention Schedules, and this document; consult with the organization's records coordinator regarding procedural problems affecting maintenance, use and disposition of records; and attend periodic records management training scheduled by IRD. The Records Custodian is also responsible for maintaining and obtaining supervisor signature on the JSC Form 1229 for the records they maintain and for retiring records when they have reached the required retention period as specified in NPR 1441.1.

1.6.7 Distributed Records Custodians

Distributed Records Custodians are employees who maintain their own records that fall within one or two records series. They should be aware of the requirements of this and associated documents, plus they should understand maintenance, use and disposition of records in their possession.

1.6.8 Civil Servant and Contractor Personnel

Civil servant and contractor personnel create, maintain, use, and dispose of NASA-owned records in accordance with the requirements in this document. The records created by civil servants and contractor personnel must be legible and complete as required by ISO 9001-2000 (see chapter 2).

1.6.9 JSC Vital Records Officer

The JSC Vital Records Officer implements the Vital Records Protection Plan (Chapter 4) in coordination with the JSC Emergency Preparedness Officer; assists organizations in designating, maintaining, and protecting the organization's vital records; and maintains a current inventory of vital records as identified by DLOs.

1.6.10 JSC Privacy Officer

The JSC Privacy Officer administers and coordinates JSC's implementation of 14 CFR Chapter V, Part 1212, Subpart 1212.6, Maintenance and Publication Requirements for Systems of Records, in accordance with JPD 1382.8, Privacy Act of 1974.

1.7 Measurements

1.7.1 Metrics Compilation

All records management data and metrics shall be gathered by the JSC RM and reported to the Director of IRD.

1.7.2 Annual Reporting

In response to an annual call from the JSC RM, DLOs shall ensure submittal of JSC Form 1229 O*rganizational Records Series Inventory* to the JSC RM. Cumulatively, these inventories identify all record series maintained by JSC and their locations, and enable identification of those series that may have outstanding retention schedules under review by the National Archives and Records Administration (NARA).

1.7.3 Record Traffic Metrics

The RM reports annually to the Director, IRD, the number of accessions and boxes of records shipped to the FRC or transferred to the National Archives, as well as the number of times records were retrieved by JSC or its contractors during the year. These metrics are reported at the organizational level.

1.7.4 Records Storage Costs

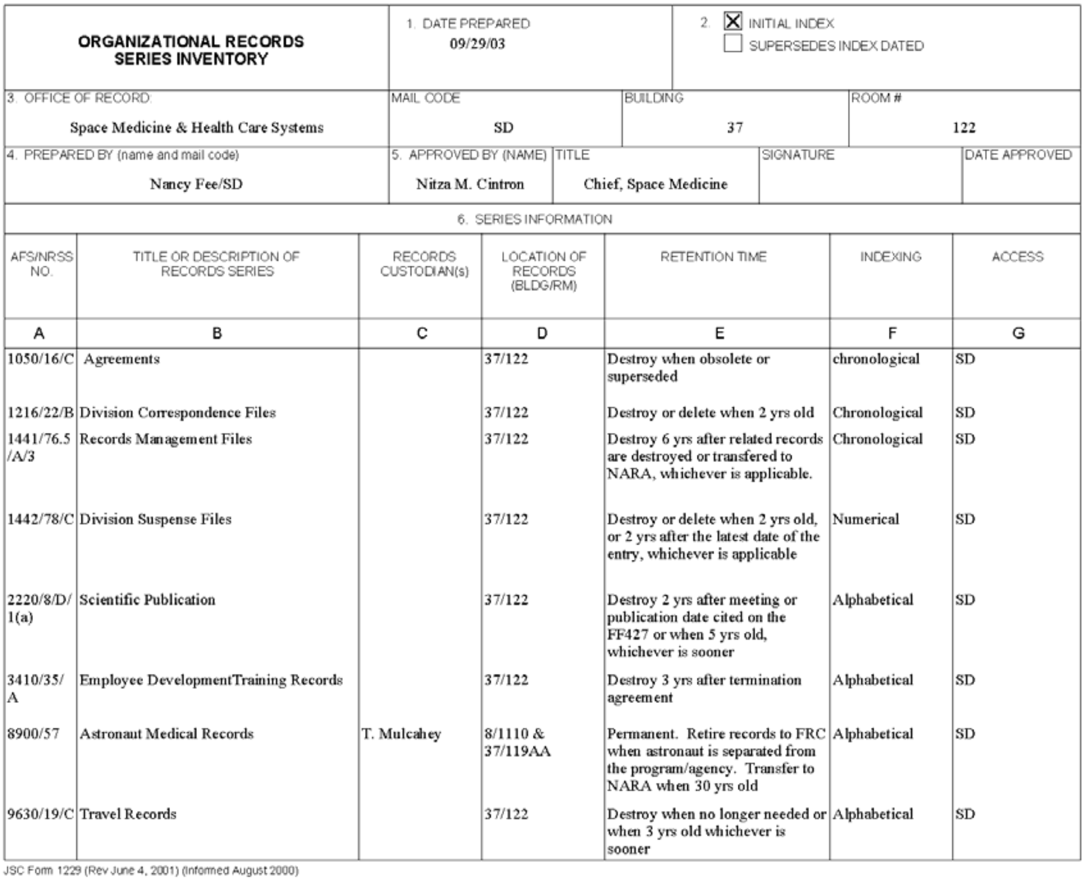
The JSC RM reports annually to the Director, IRD, the costs of storing JSC records in the FRC.

Chapter 2: JSC Records Management Requirements

See Appendix A for suggested files/records management procedures and information. The NPR 1441.1 is the mandatory requirement for management and disposition of all JSC records. Contact the JSC RM for assistance with identifying the appropriate NASA Records Retention Schedule (NRRS). The information in Chapter 2 is mandatory for all JSC records. ISO 9001-2000 requires that records be legible and complete. The records must be maintained in accordance with this document.

2.1 Records Series Inventory

An *Organizational Records Series Inventory* (JSC Form 1229) identifying all records series in the organization shall be completed and submitted to the JSC RM as required by [NPD 1440.6, NASA Records Management](). Note that the inventory is at the series level rather than the folder level as contained in the files index (see Appendix A.2.3). Records coordinators in division-level offices or above should coordinate the development of the inventory with records custodians in subordinate offices and ensure that the inventory is updated and maintained as changes occur. First-line supervisors should approve the completed JSC Form 1229. (See Figure 2-1)



ORGANIZATIONAL RECORDS SERIES INVENTORY

1. DATE PREPARED 09/29/03

2. ☒ INITIAL INDEX
☐ SUPERSEDES INDEX DATED

3. OFFICE OF RECORD: Space Medicine & Health Care Systems
MAIL CODE: SD
BUILDING: 37
ROOM #: 122

4. PREPARED BY (name and mail code): Nancy Fee/SD

5. APPROVED BY (NAME): Nitza M. Cintron
TITLE: Chief, Space Medicine
SIGNATURE:
DATE APPROVED:

6. SERIES INFORMATION

AFS/NRSS NO.	TITLE OR DESCRIPTION OF RECORDS SERIES	RECORDS CUSTODIAN(s)	LOCATION OF RECORDS (BLDG/RM)	RETENTION TIME	INDEXING	ACCESS
A	B	C	D	E	F	G
1050/16/C	Agreements		37/122	Destroy when obsolete or superseded	chronological	SD
1216/22/B	Division Correspondence Files		37/122	Destroy or delete when 2 yrs old	Chronological	SD
1441/76.5/A/3	Records Management Files		37/122	Destroy 6 yrs after related records are destroyed or transfered to NARA, whichever is applicable.	Chronological	SD
1442/78/C	Division Suspense Files		37/122	Destroy or delete when 2 yrs old, or 2 yrs after the latest date of the entry, whichever is applicable	Numerical	SD
2220/8/D/1(a)	Scientific Publication		37/122	Destroy 2 yrs after meeting or publication date cited on the FF427 or when 5 yrs old, whichever is sooner	Alphabetical	SD
3410/35/A	Employee DevelopmentTraining Records		37/122	Destroy 3 yrs after termination agreement	Alphabetical	SD
8900/57	Astronaut Medical Records	T. Mulcahey	8/1110 & 37/119AA	Permanent. Retire records to FRC when astronaut is separated from the program/agency. Transfer to NARA when 30 yrs old	Alphabetical	SD
9630/19/C	Travel Records		37/122	Destroy when no longer needed or when 3 yrs old whichever is sooner	Alphabetical	SD

JSC Form 1229 (Rev June 4, 2001) (Informed August 2000)

Fig. 2-1, Sample JSC Form 1229

- Ensure that active records are accessible to meet operational and customer needs. On the JSC Form 1229, identify those individual(s) or organization(s) that are authorized to access the records.

- Establish and implement a method for checking out records that ensures all records are locatable.

- Insure that all records or legible and complete

2.2 Records Index

- A records index at the folder level is not required, but is suggested as a means to insure that the files are maintained and archived per Federal regulations. The information from the index format may be copied to the JSC Form 1229, when the JSC RM requests the completed form. A suggested index format is located in Appendix A, para. A.2.3.

Chapter 3: Retirement of Records

JSC and the Federal Records Center (FRC) have mandatory requirements for retiring records. The following procedures shall be followed when the Federal records are eligible to be retired per the NPR 1441.1. Records must be inactive before archiving to the FRC and retired per approved retention schedules.

3.1 Retiring Records to Federal Records Centers

Inactive records may be retired for storage to NARA's FRC until they are destroyed or transferred to the National Archives. The Agency reimburses NARA for the cost of storage and handling of records stored in the FRC.

3.1.1 Preparing the Records

Only inactive records should be retired or transferred. The latest instructions, schedules, and forms for retiring records can be accessed from the JSC Records Management Home Page http://ird.jsc.nasa.gov/info_mgmt/records/records.html.

Remove all non-records and separate the remaining records into series per the NPR 1441.1. Each series will be transferred as a separate accession.

3.1.2 Ordering Boxes

Boxes shall be ordered through normal supply channels, GSA Stock Number **8115-00-117-8249**. This is the only records box that the FRC will accept. The standard-size records boxes will hold letter- and legal-size records. If special-purpose boxes are required, contact the JSC RM, IRD.

3.1.3 Assembling the Boxes

To assemble a standard-size box, square up the box on its side and fold flap A inside (fig. 3-1). Fold the extensions to flap B towards each other and fold flap B to the closed position. Flip the box over so that it is right side up. Lift flap A to the vertical position and then lift and fold the extensions to flap B up against the end walls of the box. Lower flap A to bottom of box. A vendor's imprint will be on the outside of the bottom of the box.

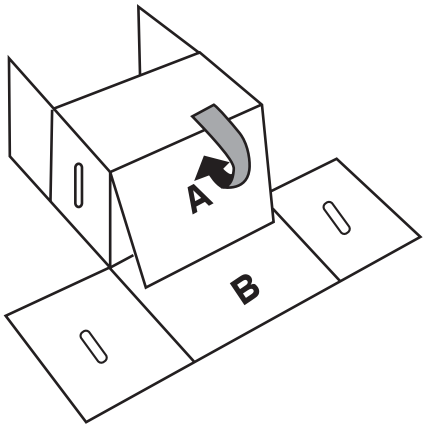


Fig. 3-1. Step 1
Square up box on its side and
fold flap A inside.

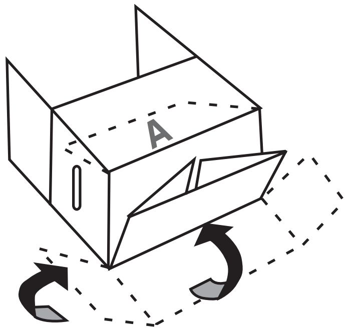


Fig. 3-2. Step 2
Fold extensions over on Flap B
and fold to closed position.

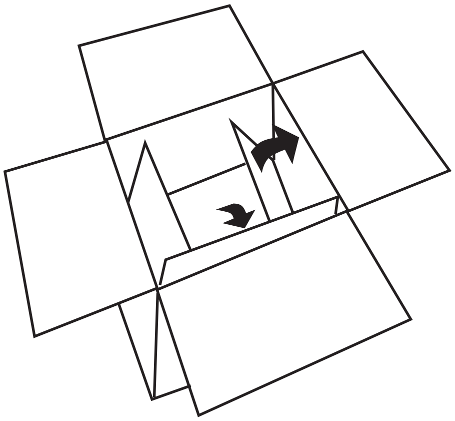


Fig. 3-3. Step 3
Lift flap A to vertical position, then lift and fold extensions of flap B up against end walls of box.

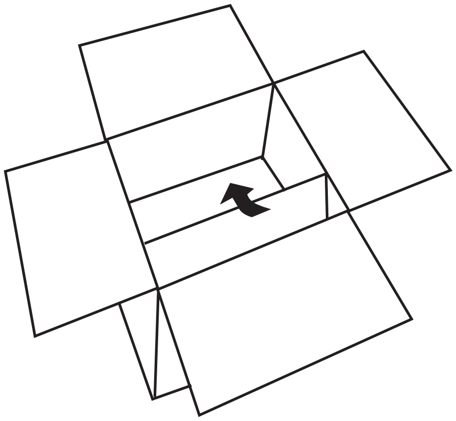


Fig. 3-4. Step 4
Lower flap A to bottom of box.

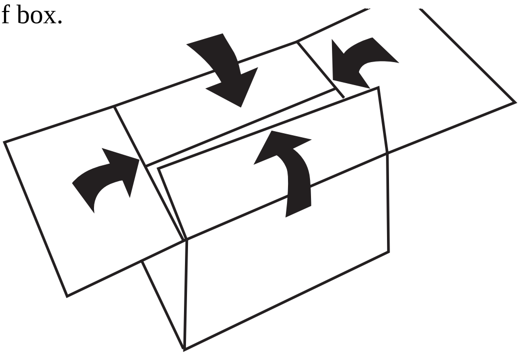


Fig. 3-5. Step 5
Fold all flaps in: small flaps first, large flaps last.

Records box assembly

3.1.4 Packing the Boxes

Remove all metal clips, binders, rings, and rubber bands from the records. Instead, use soft cotton twine for large documents, available through normal supply channels. Organize records in folders or separate by guide cards. Records must have labels that are descriptive, legible, and easily seen in the box. Ignore the written instructions on the boxes, since the Federal Records Center does not want anything other than the accession number and the box number on the outside of the boxes. **DO NOT WRITE CONTENTS ON OUTSIDE OF BOX.**

Place letter-size folders in the box with top tabs facing the front of the box (fig. 3-6). Arrange folders from front to back, in ascending order. Place legal-size folders in the box with top tabs facing the left side of the box (fig. 3-7). Arrange folders from left to right in ascending order.

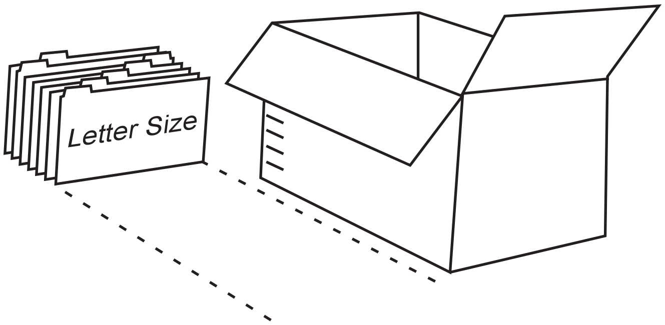


Fig. 3-6: View of records box for letter-size folders

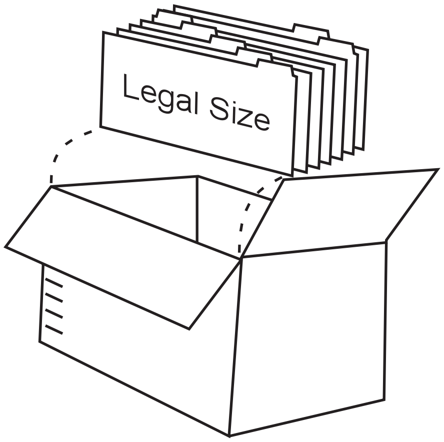


Fig. 3-7. View of records box for letter-size folders

Pack boxes as firmly as possible, but do not over pack. Leave no more than ½ in. free space. Never add cushioning material on the side or top of records in the box. The Shipping Department will add the necessary cushioning material.

3.1.5 Preparing Paperwork

Complete a JSC Form 140, *JSC Records Transmittal and Receipt*, and an electronic box listing and submit them to the JSC RM, IRD. Create an acronym list for the records being retired and include it on the JSC Form 140 or as an attachment (see Appendix E). Send an electronic version of the box inventory listing (MS Word or MS Excel format) to the JSC Records Manager in-box on the global address listing, recmnger@ems.jsc.nasa.gov (see appendix F). An electronic copy of the JSC Form 140 will also be accepted. Send a hard copy of the JSC Form 140, with original signatures, and the box inventory listing to the JSC Records Manager. Retain a copy of the completed forms in the originating office files. Upon receipt of the JSC Form 140, the JSC Records Management Office will complete Standard Form 135 and submit it to the FRC for an accession number.

3.1.7 Marking the Boxes

After you receive three copies of the Standard Form 135, *Records Transmittal and Receipt,* signed by JSC records management personnel, locate the accession number on the form and mark the accession number in the upper left corner of each box as indicated in figure 3-8.

Mark the box number in the upper-right corner of each box (fig. 3-8), beginning with box number 1 and including the total number of boxes in the accession (e.g., 1 of 3, 2 of 3, 3 of 3). Use a wide, black, permanent-ink felt-tip marker and make the numbers approximately 1 in. high. Ignore the written instructions on the boxes, since the Federal Records Center does not want anything other than the accession number and the box number on the outside of the boxes.

*Do not write box contents on outside of box. The only markings on the box should be the accession number and box number.

3.1.8 Inserting the Forms

Place one copy of the signed Standard Form 135 and the JSC Forms 140, Acronym List, and Box Inventory in an 8½ x 11-in. unfranked brown Kraft envelope, seal the envelope, and place it in front of the first folder in box 1. Place the second copy of the signed Standard Form 135 by itself loosely in front of the sealed envelope in box 1 for the FRC to pull out, stamp, and return to the JSC RM, IRD. The custodian should keep a third copy of the form filed in the originating office.

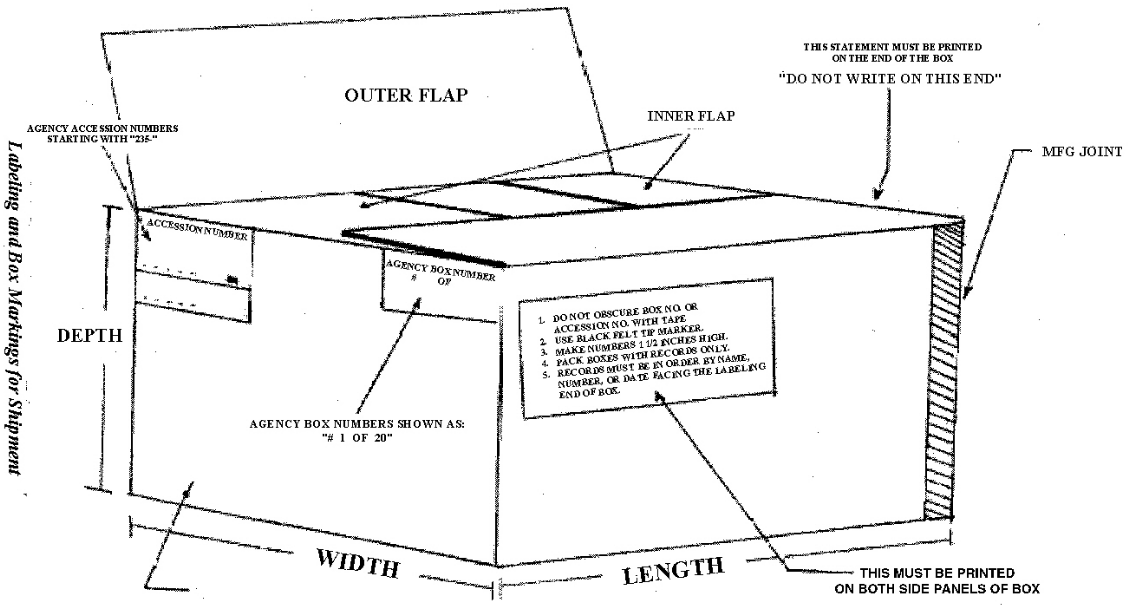

Labeling and Box Markings for Shipment
OUTER FLAP
INNER FLAP
THIS STATEMENT MUST BE PRINTED ON THE END OF THE BOX
"DO NOT WRITE ON THIS END"
MFG JOINT
AGENCY ACCESSION NUMBERS STARTING WITH "235-"
ACCESSION NUMBER
AGENCY BOX NUMBER # OF
DEPTH
1. DO NOT OBSCURE BOX NO. OR ACCESSION NO. WITH TAPE
2. USE BLACK FELT TIP MARKER.
3. MAKE NUMBERS 1 1/2 INCHES HIGH.
4. PACK BOXES WITH RECORDS ONLY.
5. RECORDS MUST BE IN ORDER BY NAME, NUMBER, OR DATE FACING THE LABELING END OF BOX.
AGENCY BOX NUMBERS SHOWN AS: "# 1 OF 20"
WIDTH
LENGTH
THIS MUST BE PRINTED ON BOTH SIDE PANELS OF BOX

Fig. 3-8. View of records box showing accession number and box number

3.1.9 Shipping the Boxes to the Federal Records Center

Interleave the tops of all boxes in the accession (fig. 3-8) and make sure the ends of the boxes are free of unauthorized markings. Complete JSC Form 235, *Review of Shipment Checklist*, sign and date it, and return it to the JSC RM, IRD. Records Management will provide a completed JSC Form 195, *Request for Shipment of Printed Matter*, and instructions to call the Shipping Department to arrange for pickup of the boxes. The boxes must reach the FRC no later than the date indicated in the instructions. If this deadline cannot be met, contact the JSC RM. When the Shipping Department picks up the boxes, give them all five copies of JSC Form 195.

3.1.10 Safeguarding the Forms

The organizational records custodian will receive a final copy of Standard Form 135 showing the location number of the shipment at the FRC. This form and a copy of the JSC Form 140 and the box inventory listing should be kept in a safe place for reference should the records need to be retrieved in the future.

3.2 Retrieving Records from the Federal Records Center

The JSC RM may retrieve inactive Agency records stored at the FRC at any time for a period of 30 days. (See §3.2.2 for longer periods.)

3.2.1 Retrieving Records from the Federal Records Center

To retrieve records, complete Section I of Optional Form 11, *Reference Request—Federal Records Centers*, and forward the form to the JSC RM, IRD. Include name, mail code, and phone number of a contact person under “Remarks” in Section I of the form. The requested records will arrive within 7 working days. To retrieve the records sooner, “Rush” should be indicated in the "Remarks" section of the Optional Form 11. If assistance is needed in completing this form, contact Records Management.

3.2.2 Procedures for Returning Records to the Federal Records Center

All records should be returned within 30 days unless there is an administrative, fiscal, or legal reason for longer retention. If records are needed longer than 30 days, please notify the JSC RM, IRD. If records were retired as permanent records, a letter of justification for retaining them longer than 30 days should be submitted to the JSC RM.

If records are in boxes, call the JSC RM for instructions for returning them. If records are in folders, return the folders to the JSC RM.

3.3 Transferring Records to the National Archives and Records Administration

Only for permanent records is actual record ownership eventually transferred to NARA. These are records that NARA has appraised as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed by NASA for administrative, legal, or fiscal purposes. Permanent records are specifically identified as such in NPR 1441.1.

When an organization has permanent records that are eligible for transfer to NARA, the records custodian shall contact their organizational records coordinator who will obtain instructions from the JSC RM.

If a NASA employee or contractor has records, or thinks they have records, that would be of interest to NARA or should be transferred to NARA, they should work through the organization's records custodian or records coordinator. Do not contact NARA directly.

3.4 Donation of Temporary Records

When the public interest will be served, in accordance with 36 CFR Chapter XII, Subchapter B, paragraph 1228.60, Donation of Temporary Records, a Federal agency may propose the transfer of records that are eligible for disposal to an appropriate person, organization, institution, corporation, or government (including a foreign government) that has requested them. Such records may be transferred upon receipt of written approval from NARA. An organization with such records should contact the JSC RM, who will initiate the process.

3.5 Loaning Permanent and Unscheduled Records

The Archivist of the United States has authority over the placement of permanent records (44 U.S.C. 2107 and 2904). As unscheduled records have not been appraised, they are deemed permanent for the purpose of this section and are also covered by this authority.

No permanent or unscheduled records shall be loaned to non-Federal recipients without prior written approval from NARA. This authority is not required for temporary loan of permanent and unscheduled records between Federal agencies.

The policy and procedures for initiating a loan of permanent or unscheduled records may be found in 36 CFR Chapter XII, Subchapter B, Subpart E, Loan of Permanent and Unscheduled Records. Any such loan should be coordinated through the JSC RM.

3.6 Unauthorized Removal, Use, or Destruction of Records

Federal records are the property of the Government. They shall not be removed from Federal custody or destroyed without regard to the provisions of the Agency records retention schedules approved by NARA or the GRS issued by NARA. No JSC records shall be removed from Agency custody without prior approval of the JSC RM.

Chapter 4: Management of Vital Records

4.1 Introduction

The purpose of this chapter is to ensure the ready availability of vital records needed for the continued operation of essential functions within the Johnson Space Center (JSC) in the event of a national or regional emergency. Instructions are provided for JSC personnel in the selection, preparation, and inventory of vital records and the transmission, maintenance, and disposition of these records at backup sites as part of the JSC's vital records program. An active vital records program at each Center is necessary in order to comply with NPR 1040.1, NASA Continuity of Operations (COOP) Planning Procedural Requirements.

4.2 Vital Records

Vital records are those essential JSC records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions and also those records essential to protecting the legal and financial rights of JSC and those affected by its activities. Vital records fall into two categories: (1) emergency operating records, and (2) legal and financial rights records.

4.2.1 Emergency Operating Records

Emergency Operating Records are records vital to the essential functions of the Federal Government for the duration of an emergency or reconstitution of the organization after an emergency. Emergency operating records are comprised of records necessary for the mobilization and protection of material and manpower resources, services, and systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. See Figure 4-1 for examples.

4.2.2 Rights and Interest Records

Rights and Interests Records are records that are essential for the preservation of legal rights and interests of individual citizens and the Federal Government such as personnel-related records as well as records documenting financial agreements with external entities. See Figure 4-1 for further details.

4.3 Procedures

All DLOs possessing vital records shall identify, safeguard, maintain, and update those records within their areas of responsibility, developing a vital records plan and designating vital records custodians.

4.3.1 Vital Record Designation

Only those records (including electronic records/systems) most critical to emergency operations, the preservation of legal or financial rights, or the reconstitution of operations following an emergency shall be designated as vital records (see Figure 4-1).

The following factors shall be considered in identifying vital records:

- Impact of total loss of the record on the ability to reconstitute the activity and resume operations.

- Whether there is a specific planned need for the record during or immediately following the emergency.

1. Emergency Operating Records:

   A. Disaster control and emergency plans, emergency regulations, description of emergency functions, emergency management documents, records of amounts and locations of emergency supplies and equipment, and lists of emergency sources of supplies necessary to operate and administer the emergency site

   B. Data on NASA personnel and positions such as rosters of key employees, security clearance lists, payroll, telephone directories, and personnel qualifications and skills

   C. Emergency communications plans, procedures, operating instructions, and routing

   D. Procurement data such as emergency procurement regulations and contracting instructions, contractor and source lists, contract forms, vendor listings, commodity catalogues, defense materials allotment reports, and current contract files that are essential to emergency operations

   E. Scientific and technological data which would be required to meet priority needs of the programs of the Federal Government in a national defense emergency, including essential research and development information related to:

      (1) Aeronautical and space programs in support of the military effort, resource mobilization, or civil preparedness

      (2) Operation of NASA's communication, tracking and data acquisition and processing capabilities as a component of the National Communications System (NCS)

      (3) Operation of satellite and aircraft systems capable of providing information pertaining to the nation's resources, environment, civil defense and military objectives

      (4) Support of the Department of Defense by providing aircraft take off, landing and operational facilities, and appropriate ground and maintenance support

   F. NASA budget estimates for the current and next fiscal year

   G. Data, critical design specifications, and essential drawings of spacecraft, launch vehicles, control systems, important test facilities, and such systems which would be vital to NASA's furnishing direct assistance in support of the military effort in an emergency

   H. Brief summaries of work in progress on current research and development projects

2. Rights and Interest Records:

   A. Data on personnel earnings, service, leave, qualifications, retirement, beneficiaries, position classifications, etc.

   B. Financial management records and reports considered to be essential for the preservation and protection of the rights of employees and others as outlined in FMM 9660, NASA Financial Management Manual

3. Records supporting legal rights maintained by NASA as the statutory office of record, patents and patent applications, guaranteed loans, and patent waiver agreements with contractors

Fig. 4-1. Example of Vital Records

4.3.2 Vital Records Custodian Designation

DLOs shall name those records custodians who are responsible for maintaining and updating vital records within their areas of responsibility.

4.4 Vital Records Storage/Recovery

It is mandatory that copies of vital records are stored so they are retrievable if an emergency destroys the originals. Plan the media and location for storage as well as the method and schedule for transferring and renewing the copies of vital records to maintain currency. The strategy for accomplishing this should be included in the organization's vital records plan. Original vital records and copies are to be dispositioned in accordance with NPR 1441.1.

Organizations shall arrange for off-site storage and periodic renewal of copies of vital records in a facility not subject to the same emergency or disaster as JSC, but still reasonably accessible to agency staff.

Whenever feasible, an organization shall store copies of emergency operating records in a properly equipped and environmentally controlled emergency operations center. However, an organization may store emergency operating records in another safe storage space including the Federal Records Center in Fort Worth if space is available and if recycling costs are reasonable.

If electronic files, databases or systems are identified as vital records, a systems contingency plan must be prepared as a section of the organization's security plan or as a separate document, in accordance with JPR 2810.1 Johnson Space Center Information Technology Security Handbook.

Records needed to protect legal and financial rights may also be stored at the FRC in Fort Worth. If these vital records are recorded on a medium other than paper, the RM shall contact the FRC before initiating the transfer to ensure that appropriate environmentally controlled space is available. The latest instructions for retiring records to the FRC can be found in Chapter 3 of this document.

4.5 Vital Records Reporting

JSC directorates, program offices, laboratories, and contractors responsible for creating or maintaining NASA-owned vital records shall inventory them annually using a JSC Form 670A or JSC Form 670B, whichever is most applicable. Identify the media and location for storing copies of the vital records, along with any special equipment needed to access them. These inventories shall be provided to the JSC Vital Records Manager or to the JSC Records Manager if a Vital Records Manager has not been designated.

Copies of the organization's vital records plan shall be provided to the JSC Records Manager and updated as required.

5. RESCISSION. JPG 1440.3A, JSC Files and Records Management Procedures, dated March 2004.

APPENDIX A: Records Hints and Guidelines

A.1 Introduction

Adequate records management controls throughout the Center for the maintenance and use of files and records help ensure that: permanent records can be located when needed and preserved for eventual transfer to NARA; temporary records are kept to a minimum and disposed of in an orderly and timely manner; and supplies, equipment, and office space are used efficiently and effectively (36 CFR XII). Controls also ensure that records remain legible, readily identifiable and retrievable. These objectives can be achieved by using the management standards and techniques outlined in this chapter.

A.2 Planning and Arranging Files

Careful planning, organization, and arrangement of files will enhance the organization's efficiency and facilitate proper records disposition. This section presents a step-by-step plan that may be followed to achieve maximum accessibility/management of information and records.

A.2.1 Where to Locate Files

The first decision in planning an effective filing system is determining the best location for the files. It is recommended that current records be maintained in official file stations where practical. (Non-records may be filed in official file stations, if space permits.) Records must (1) be located so they are readily accessible to meet operational and customer needs, and (2) be stored to minimize deterioration, damage, or loss. Factors of temperature, humidity, and light appropriate to the medium should be considered.

Organizations should determine where the file station would best serve the office and Center's needs.

File station location should consider the following:

- Is there a growing number of records in desks, bookcases, and so-called personal files?
- Is there a growing need for additional filing equipment?
- Is the file station used infrequently?
- Is there uncertainty as to where to look for information?
- Is there a need to look in more than one place to get the complete record?
- Is it difficult to find material rapidly?
- Are the records inaccessible to frequent users?

If the answer to the majority of the above questions is "yes," the file station may not be located at the organizational level that will best serve the office and JSC. It may be necessary to relocate the file station to another organizational level.

A.2.2 Group Files into Series

The next step toward effective information management is to separate the files into distinct groupings, or series, to reduce record retrieval time by reducing the area of search. An official file station consists of one or more distinct record (or non-record) series. A series is a group of documents with similar characteristics that distinguish it from other groups in the file station. Different records series will most often have different retention schedules and should be maintained separately. In determining which documents will be filed as a separate series, consider the following factors:

The need for frequent, easy reference to a particular group of documents may necessitate that the documents be organized and maintained as a separate series of records. A large group of records serving the same purpose and being of the same kind is indicative that the group should be maintained as a separate series of records.
Physical characteristics – e.g., nonstandard size and shape – preclude filing with standard-size files.

Records with different retention periods are separate series and should be filed as such to eliminate screening and to facilitate disposition.

A.2.3 Indexing Records

The NPR 1441.1, NASA Records Retention Schedules, is the requirements document for selecting the AFS. The AFS is intended to provide a standardized classification and filing scheme to achieve maximum uniformity and ease in maintaining and using Agency records. The AFS is typically based on subject or function, and often correlates to the number of the NASA Policy Directive (NPD) or JSC Policy Directive (JPD) under which the work producing the record was performed. Contact the JSC Records Manager for assistance.

Preparing the Index

No matter how sound the subject categories are, a file may be hard to use unless the folders are arranged in a uniform and logical manner and a written files/records index has been prepared. When preparing the index, the topics should be listed in the same order in which the folders are placed in the file drawers; i.e., in ascending order by AFS code. A good index will contain no more than three subordinate levels under any primary topic. Often, primary topics are all that will be needed.

Maintaining the Index

The records custodian for each official file station shall prepare a files/records index to identify all records for which they are responsible. The files index should be prepared in a clear, neat format using software that will allow electronic sorting (See figure 2-1). Adequate spacing between topics should be allowed to include new items and other notations. The files/records index will be retained at the official file station and will be reviewed periodically to ensure that it is still current. The files index shall be transferred to a JSC Form 1229, Organizational Records Series Inventory, and be prepared to submit the inventory to the JSC Records Manager as requested.

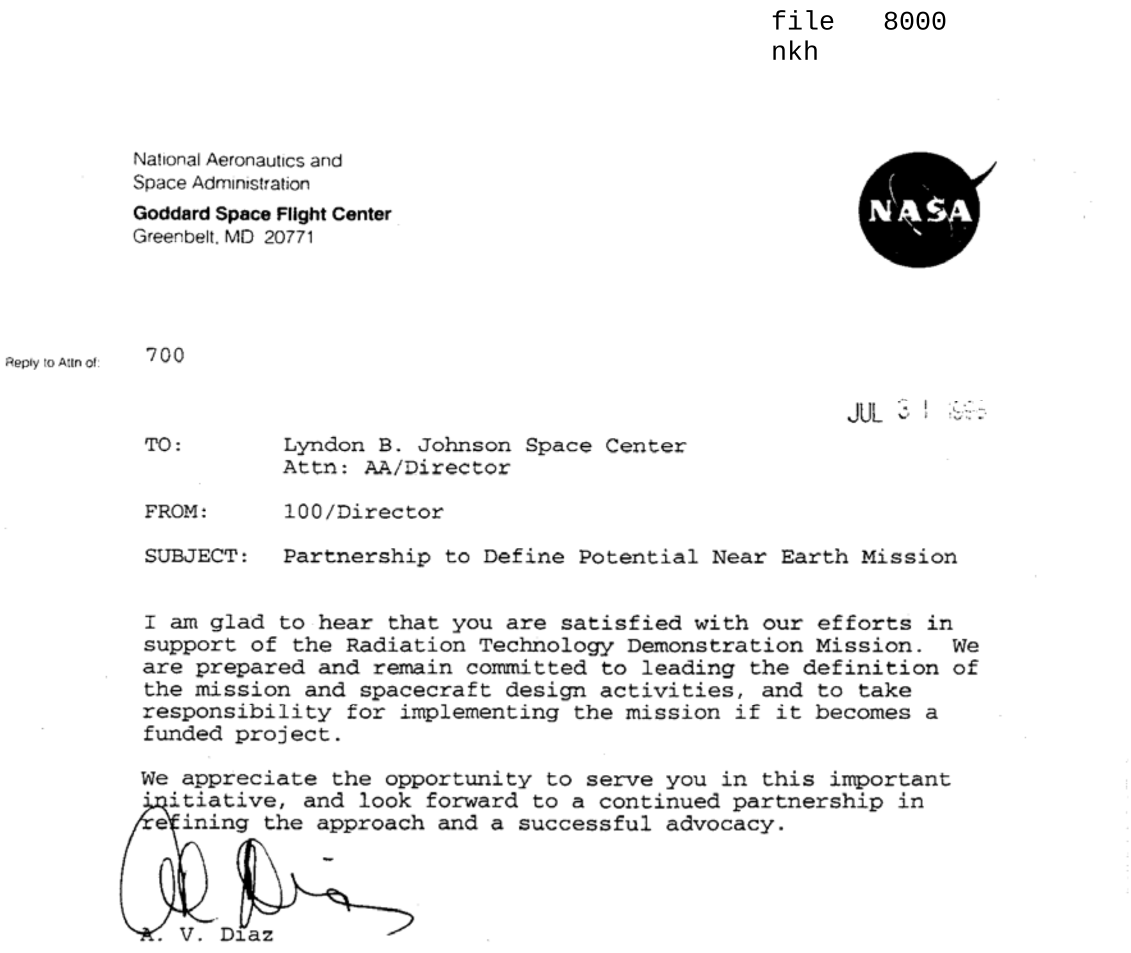
AFS CODE	TITLE OF RECORD	NRRS
1442	Incoming Memos - Reading Files - 2001	1/78D
1442	Senior Management Meetings - Reading Files - 2001	1/78D
1442	Division Activity Reports - 2001	1/78I
1442	Division Activity Reports - 2000	1/78I
1442	Suspense Files - 2001	1/78B1
1442	Travel Authorization Copies - 2001	1/78I
1442	Travel Authorization Copies - 2000	1/78I
3290	Duplicate Personnel Records: Employee 1	3/9A
3290	Duplicate Personnel Records: Employee 2	3/9A
3290	Duplicate Personnel Records: Employee 3	3/9A
	Add additional files or columns as required by the organization	

Fig. 2-1. Sample Files/records Index

A.2.4 Preparing Records for File

- Marking documents with AFS

Mark the selected AFS code in the upper-right corner of the hard copy documents (see figure A-1). Electronic records may include the AFS code in the record or folder title. Sort the files and/or records into record series. Finally, designate the AFS code and the record series title on the index (see §2.1).



file 8000
nkh

National Aeronautics and
Space Administration
Goddard Space Flight Center
Greenbelt, MD 20771

Reply to Attn of: 700

JUL 31 1998

TO: Lyndon B. Johnson Space Center
Attn: AA/Director

FROM: 100/Director

SUBJECT: Partnership to Define Potential Near Earth Mission

I am glad to hear that you are satisfied with our efforts in support of the Radiation Technology Demonstration Mission. We are prepared and remain committed to leading the definition of the mission and spacecraft design activities, and to take responsibility for implementing the mission if it becomes a funded project.

We appreciate the opportunity to serve you in this important initiative, and look forward to a continued partnership in refining the approach and a successful advocacy.

A. V. Diaz

Fig. A-1. Letter with File Authority and File Code

- Arranging Documents for File

After identifying the proper AFS for the organization's records series, select a method of arranging each series. A well-devised arrangement of topics and folders will contribute to a successful file, restricting the area of search when looking for a record and providing for easier disposition of files. The arrangement should conform to the users' requirements. The kinds of records they need, the way they ask for them, and the terms they use in their requests should determine the pattern. It should be complete and flexible. Arrangement may be alphabetical, numerical, chronological, subjective, organizational, or geographical.

Determining the type of files will help establish the manner of file arrangement. There are two basic types of files that dictate file arrangement: case and case working files, and subject files.

a. *Case Files*. These files are individual documents/groups of documents pertaining to the same action, event, person or project that are filed together in the same folder. A case file is used to maintain personnel transactions, contracts, research and development projects, management studies, etc. Typically, a case file documents a transaction from beginning to end. Accordingly, a case file is terminated on contract completion, the retirement of an individual, or the completion of a project. These files are typically arranged by name or number.

b. *Case Working Files*. These files consist of background and working materials accumulated in connection with project-type cases. Typical among these are background and working materials, and other preliminary papers that lead to final findings. Also included are short-lived correspondence such as routine requests from an office for reports or data on a case, routine correspondence between Headquarters and field installations on case administration, and extra copies of case documents. Because case files are typically kept longer than case working files, it is important that the two be segregated from each other in some fashion. This can be accomplished by filing them in separate file drawers, in separate file folders, or on separate sides of the same prong-fastener folder.

c. *Subject Files.* These files relate to general matters involving Agency functions and should be cut off annually since they do not have a natural ending point. Subject files may be of short-term or long-term value. Short-term files deal with facilitative and housekeeping matters such as travel, supplies, and maintenance while long-term or permanent records deal with the mission of the Agency. Housekeeping files are Administrative files, while long-term records are typically programmatic (including program correspondence). Be careful to distinguish which is which.

A.3 Filing Procedures

A.3.1 Checking and Sorting

- File Authority. Check to see if the proper official has certified the need for filing by marking the file authority on the document, if required by the office's procedures. This authorization may be the word "file," someone's initials, or a checkmark in the upper-right corner of the document (see figure A-1). Documents lacking such authorization should be returned to the principal involved. This is important because it places the responsibility where it should be. File authority is not necessary on documents placed in library-type accumulations for reference use or when other procedures are established.

- Completeness. Inspect the document and ensure that it is complete and all attachments are included. Assemble documents in the following order:

    - Basic letter or document.
    - Enclosures or attachments.
    - Internal actions, which support the basic letter or document, in reverse date order; i.e., earliest papers at the bottom of the pile.

- *Unnecessary Attachments*. Destroy envelopes, routing slips, mail control forms and receipts, unused drafts, and other unnecessary attachments unless they contain essential information, e.g., signatures or initials of concurring officials.

- *Extra Copies.* Destroy courtesy or other duplicate copies, except those containing coordination initials, concurrences, or other important information.

- *Staples*. While it is better to file papers loosely in a folder, it may be necessary to staple related papers together in one or both upper corners. When a document is too thick for standard staples, use wire staples, a backing sheet with prong fasteners, or cotton twine.

- *Other Fasteners*. Remove rubber bands, paper clips, and other temporary fasteners. Never leave rubber bands, paper clips, and other temporary fasteners on material that is being placed in a folder.

- *Mending.* Mend or reinforce all torn or frayed papers with transparent tape before the pages are placed in a folder.

A.3.2 Cross-Referencing

If records may be requested in more than one way, indicate this on the record and prepare a cross-reference for the record. Cross-referencing is accomplished at the time the AFS codes are selected for filing the record. A cross-reference directs the person looking for the record to another location where the record may be found. Cross-referencing is also used when related material is in another location or when records within the system have been relocated. Optional Form 21, *Cross-Reference,* may be used to cross reference the records (see appendix D, Forms).

A.3.3 Selecting Folders

Standard folders will be used where possible. It is recommended that folders be of the same basic style.

A.3.4 Labeling Folders

It is recommended that every folder be identified with an AFS code, a title, and the beginning and ending dates of the contents of the folder, except as indicated below.

The simplest method to identify folders in small official file stations is to mark the required information directly on the tab of the folder, using black ink for the best contrast. This eliminates labels that tend to fall off with usage and time. Be sure to print identifying data neatly on the folder and include an AFS code, a title, and a date describing the contents of the folder (see figure A-2). Mark the top tab of the folder for vertical file cabinets or the side tab of the folder for lateral file cabinets. Place the marking on the folder in a position that indicates whether the subject of the folder is of primary, secondary, or tertiary importance.

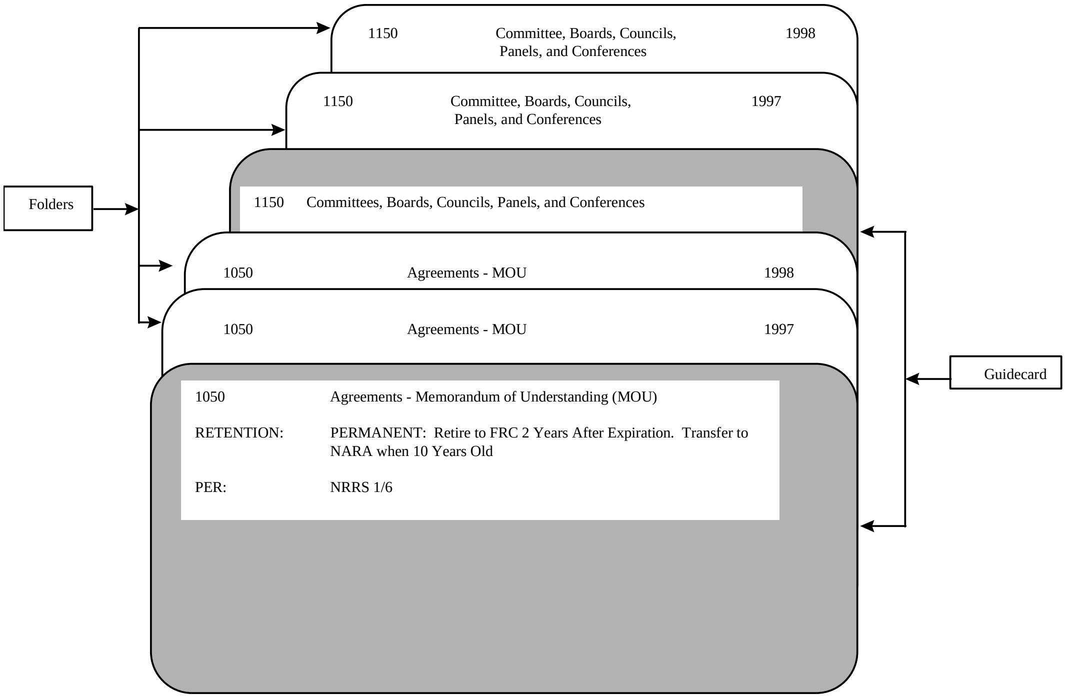

1150
Committee, Boards, Councils, Panels, and Conferences
1998
1150
Committee, Boards, Councils, Panels, and Conferences
1997
Folders
1150 Committees, Boards, Councils, Panels, and Conferences
1050
Agreements - MOU
1998
1050
Agreements - MOU
1997
Guidecard
1050
Agreements - Memorandum of Understanding (MOU)
RETENTION:
PERMANENT: Retire to FRC 2 Years After Expiration. Transfer to NARA when 10 Years Old
PER:
NRRS 1/6

Fig. A-2. Samples of guide cards and tabs for folders

The simplest method to identify folders in large official hard copy file stations is to prepare folder labels using a computer and a laser printer. Be sure each label includes an AFS code, a title, and the inclusive dates of folder contents (see figure A-3). It is essential that records be segregated from non-records and permanent records be segregated from temporary records. It is therefore recommended that red-striped labels be used for folders containing permanent records; yellow-striped labels be used for folders containing temporary documents; and green-striped labels be used for folders containing non-record documents. Affix these labels to the top tab of the folder for vertical file cabinets or the side tab of the folder for lateral file cabinets. Place the label on the folder in a position that indicates whether the subject of the folder is of primary, secondary, or tertiary importance.

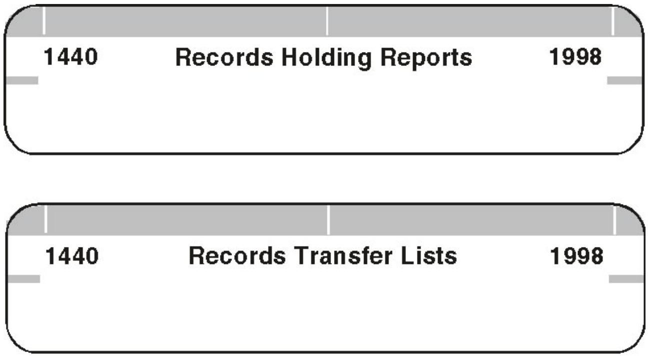

1440
Records Holding Reports
1998
1440
Records Transfer Lists
1998

Fig. A-3. Samples of Labels for Folders

The year of the file does not need to appear on the tab or label of folders with disposition standards of less than 1 year, or for perpetual type files that, when superseded, obsolete, or no longer needed, are disposable.

A.3.5 Using Guide Cards

It is strongly recommended that standard guide cards be used. Guide cards are primarily "signposts" and supports within file drawers. The same principle may be used with folder organization of electronic records.

The area of search is reduced when using guide cards (see figure A-4). A full file drawer is not likely to contain fewer than 40 folders. Without guide cards, the eye is required to rove through the entire lot. With at least four to six evenly-distributed guide cards in the drawer, less searching is needed.

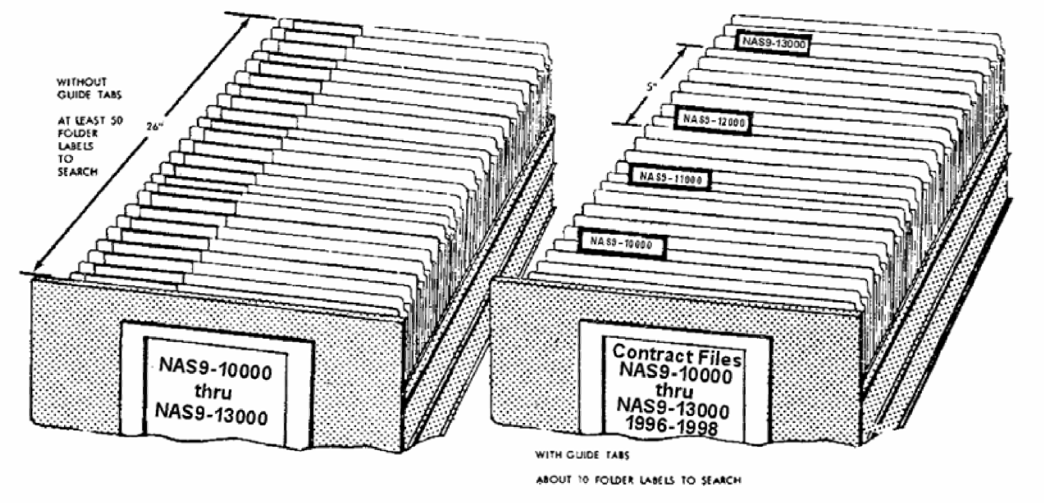

WITHOUT GUIDE TABS
AT LEAST 50 FOLDER LABELS TO SEARCH
26"
NAS9-10000 thru NAS9-13000
5"
NAS9-13000
NAS9-12000
NAS9-11000
NAS9-10000
Contract Files NAS9-10000 thru NAS9-13000 1996-1998
WITH GUIDE TABS
ABOUT 10 FOLDER LABELS TO SEARCH

Fig. A-4 Guide cards reduce area of search

Guide cards can graphically display the relationship of subdivisions to the larger headings of a system when arranging files.

Keep guide cards to the necessary minimum. For example, one guide card with a records disposition label affixed will be used in front of each record series and, if needed, additional guide cards for each 10 or 15 folders within the series.

Guide cards also help folders to stand erect in the file and keep the bottom of one folder from slipping underneath another folder (see figure A-5). Affix a records disposition label to the upper projection of the guide card placed in front of each distinct record series. When placed on guide cards, these labels will serve to identify the record series filed behind each card and the appropriate disposition instructions for that record series cited in NPR 1441.1, NASA Records Retention Schedules (see figure A-6)

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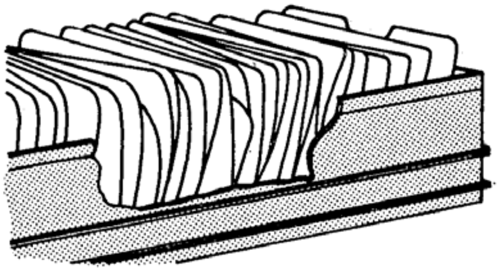


Fig. A-5. Guide cards reduce folder sag

8040 CONFIGURATION CONTROL BOARD (CCB) RECORDS **1988-1990**

CUT OFF: WHEN 2 YRS. OLD

DESTROY: WHEN 30 YRS. OLD OR SOONER UPON RECEIPT OF SPECIFIC AUTHORIZATION FROM CENTER DIRECTOR OR PROGRAM MANAGER

PER: NRRS/8/9A

CY 2000

5100 CONTRACT CASE FILES

CUT OFF: FINAL PAYMENT DATE

DESTROY: 3 YRS. AFTER CUTOFF

PER: NRRS/5/1A2

Fig. A-6. Samples of file drawer labels

A.3.6 Labeling File Cabinets

Usually the first label that is read on a file cabinet is a label placed on the outside of a file drawer or shelf. Labels narrow the search to one file drawer or shelf. To properly guide users of the file cabinet, the label should identify the contents of each drawer or shelf adequately. For each drawer or shelf, a label should show the AFS codes, series titles, and years (where applicable) of the folders filed in that location (see figure A-7).

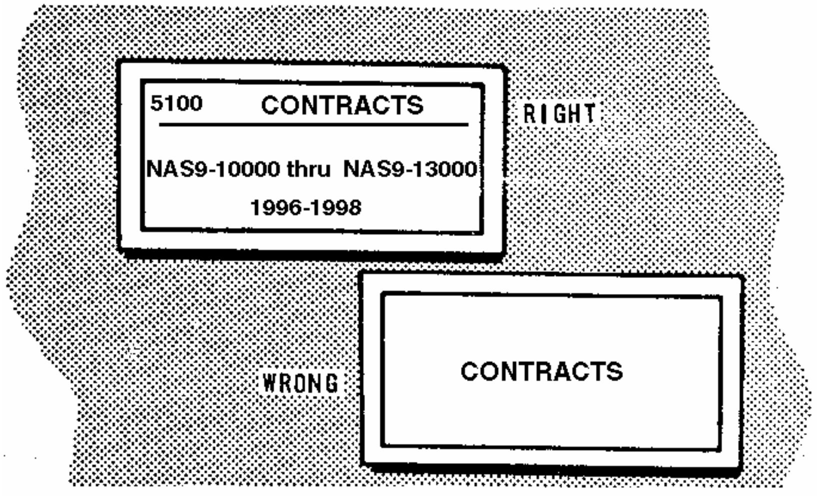


Fig. A-7. Samples of correct/incorrect file cabinet labels

A.3.7 Placing Papers in Folders

Following are some recommended standard filing procedures:

For ready reference, a document to be filed should bear the same AFS code and title as the folder in which it will be placed. Be sure the AFS code is in the upper-right corner of the first page of the document before placing the document in its folder. This will reduce troublesome misfiles, especially when a document is pulled and refiled.

Documents should be placed in the folder with the latest dated material on top and with the top of the document (in vertical file cabinets) toward the left of the file drawer as the reader faces it so that all filed documents can be read as a book.

A common file standard is "file the papers loosely." Unless the entire folder is charged out from the file, as case folders often are, fastening papers to folders is unnecessary. This practice more than doubles the time required to place papers in file folders and retrieve them.

Avoid overloading file folders. Normally, if a folder becomes too full (over ¾-in. thick), a new folder should be established. The label of the closed folder should show the beginning and ending date of the material in it, and the new folder should be placed in the file in front of the closed folder (see figure A-8).

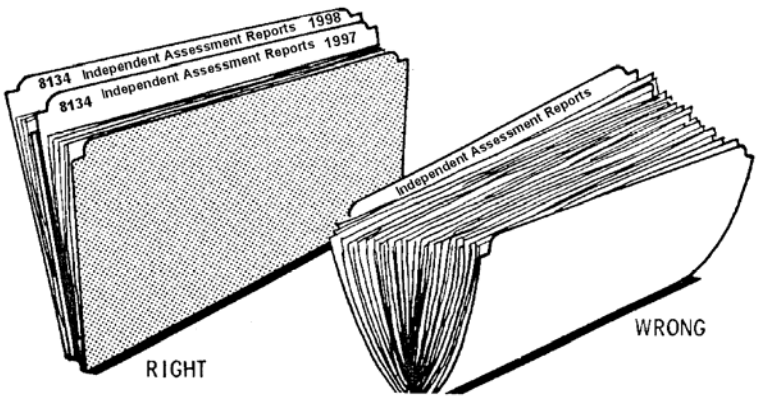

8134 Independent Assessment Reports 1998
8134 Independent Assessment Reports 1997
Independent Assessment Reports
RIGHT
WRONG

Fig. A-8. Keep papers straight – avoid overloaded file folders

A.3.8 Filing Security-Classified Records

Instructions governing the handling and safeguarding of classified material can be obtained by contacting the JSC Security Office. Unclassified records will not be filed in the same cabinet with classified records, except when it is necessary to maintain the continuity of a particular transaction or event or when the volume of unclassified material is too small to require setting up separate files. Normally, this will be when the volume of unclassified records is less than 20% of the volume of classified. When classified and unclassified records are filed together in a security file cabinet and additional filing space is needed, unclassified material should be removed from the file cabinet and placed in a standard filing cabinet to avoid purchasing new security equipment.

Folders containing classified material must be filed in cabinets of the type authorized by the JSC Security Office. If folders containing classified material are to be filed with folders containing unclassified material, place the classified folder directly behind unclassified material of the same type. At no time should classified and unclassified material be inter-filed in the same folder. Each folder containing classified material will be marked at the top of the folder with the appropriate classification so the classification is clearly visible when the folders are in the file.

Appendix B: Glossary

Access: To obtain administratively controlled information or an administratively controlled record.

Accession: A shipment of records retired to on-site storage or the Federal Records Center, or transferred to the National Archives.

Active Records: Records necessary to conducting the current business of an organization. They, therefore, are generally maintained in office space and equipment.

Administrative Records: Records relating to budget, personnel, supply, and similar housekeeping or facilitative functions common to most agencies, in contrast to program or technical records.

Agency Filing Scheme (AFS): List of subject identification codes contained in NPR 1441.1 intended for use in filing NASA-owned records. Previously identified as the uniform files index (UFI) number.

Archives: Non-current records of an organization preserved because of their continuing or enduring value. "National Archives of the United States" means those records that have been determined by the Archivist of the United States to have sufficient historical or other value to warrant continued preservation by the Federal Government and that have been transferred to the Archivist's legal custody.

Case Files: Individual documents or groups of documents pertaining to the same action and filed in the same folder. A case file is used effectively to maintain personnel transactions, contracts, research and development projects, management studies, etc. It documents a transaction from beginning to end.

Case Working Files: These files consist of background and working materials accumulated in connection with project-type cases. Typical are background and working materials and other preliminary papers leading to final findings.

Classified Records: Records requiring, for national security reasons, safeguards against unauthorized disclosure.

Collect: To gather records to index and file for later reference.

Contingency Plan: A plan for emergency response, backup operations, and post-disaster recovery created, maintained, and tested as part of the I/T security planning process that will ensure availability of critical resources and facilitate continued processing in an emergency situation.

Correspondence: Letters, postcards, memorandums, notes, telecommunications, and any other form of addressed, written communications that were sent and received.

Custodian: (See Records Custodian)

Customer: Any non-JSC entity that receives a JSC-supplied product or service.

Cutoff: Breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are usually cut off at the end of the year in which the case is closed. Cutoff is sometimes abbreviated as "COFF" and is also called file cutoff or file break.

Cycle: The periodic removal of obsolete copies of vital records and their replacement with copies of current vital records.

Data: Electronic or written information based on observation, measurement, test, or other means and stored in a variety of media such as magnetic tapes, computer disks, data sheets, logbooks, real-time strip charts, photographs, and videocassettes.

Deleting: The process of permanently removing, erasing, or obliterating recorded information from a medium, especially a magnetic tape or disk, which then may be reused. In electronic records, sometimes called scratching or erasing. See also *Destruction*, *Disposal*, *Disposition.*

Destruction: In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials. See also *Deleting*, *Disposal*, *Disposition.*

Directive: A written instruction communicating policy and/or procedure in the form of orders, regulations, bulletins, circulars, notices, numbered memorandums, and similar issuances [e.g., NASA management instructions (NMIs), NASA procedures and guidelines (NPRs)].

Directorate-level organization (DLO): Directorate, program office, project office, or other functional work area that reports directly to the JSC Center Director.

Disposal: Actions taken regarding temporary records after their retention periods expire and usually consisting of destruction or occasionally of donation. See also *Deleting*, *Destruction*, *Disposition.*

Disposition: Action taken regarding inactive records, including disposal of temporary records or of non-record materials when no longer needed. These actions include retirement to Agency storage facilities or the Federal Records Center (FRC), transfer from one Agency to another, transfer of permanent records to the National Archives, and disposal of temporary records by destruction or donation. The third stage of the records life cycle. See also *Deleting*, *Destruction*, *Disposal*.

Document: Recorded information – regardless of physical form or characteristics – often used interchangeably with record.

Duplicate: Copy of a paper document, photograph, microform, or magnetic tape or disk.

Electronic Records: Any information recorded in a form that only a computer can process. This includes numeric, graphic, and text information that may be recorded on any medium capable of being read by a computer including magnetic media; e.g., tapes, disks, and optical disks. Also called machine-readable records or automatic data processing (ADP) records.

Emergency: A situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. Usually of short duration.

Emergency operating records: Vital records essential to the continued functioning or reconstitution of an organization during and after an emergency or a disaster.

Emergency operation center: A sheltered area equipped with the supplies and equipment that enable an agency to continue operations during and following a local or national emergency or a disaster.

Federal records: All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.

File: To arrange active records in folders, filing cabinets, bookcases, or electronic media in accordance with a files index.

Files Index: A document containing the Agency Filing Scheme code, document identifying number, title or description, and disposition authority of files held in an office.

File Station: Any location in an organization at which records are maintained for current use.

Form: A document with a fixed arrangement of captioned spaces designed for entering and extracting information. Categories of forms include internal, interagency, public use, standard, and optional.

General Records Schedules (GRS): A comprehensive listing of temporary records common to several or all Federal agencies, issued by the National Archives and Records Administration (NARA), governing the disposition of specified recurring series of records. These standards are mandatory for Federal agencies.

Inactive records: Records no longer required to conduct Agency business and, therefore, ready for final disposition.

Index: To arrange records into a record series and then arrange the records within each series using a system that meets operational needs.

Legal and financial rights records: Vital records essential to protect the legal and financial rights of the Government and of individuals directly affected by the Government's actions

Life Cycle of Records: The management concept that records pass through three stages: creation, maintenance and use, and disposition.

Magnetic Tape: A computer storage medium, usually ½ in. wide, that comes in a variety of lengths wrapped on a tape reel.

Maintain: To store, retrieve, and handle records kept in offices by, or for, a Federal agency.

Medium: The physical form of recorded information. Includes paper, film, disk, magnetic tape, and other materials on which information can be recorded.

NASA-Owned/Contractor-Held Records: Records resulting from specific transactions of official business made or received by on-site tenant contractors while performing work for NASA under the terms of their respective contracts. Since these records – which can be found in the physical custody of the contractor – are NASA property, they are to be accounted for, maintained, safeguarded, preserved, and disposed of as NASA records. Long-term and permanent records are eventually turned over to NASA for storage in local staging areas or are retired to FRCs. Corporate records of a contractor's intracompany operations or private business are exempt.

Non-record Material: Federally owned informational material that does not meet the statutory definition of records or has been excluded, such as:

- Library and museum material (made or acquired and preserved only for reference).
- Extra copies of documents (preserved for convenience or reference).
- Publications and processed documents (annual reports, brochures, pamphlets, books, handbooks, posters, maps, and blank forms).

Objective Evidence: Information that can be proved true, based on facts obtained through observation, measurement, test, or other means.

Official File Station: See *File Station*.

Official Record: Recorded information, regardless of media, in the custody and control of NASA or acquired by NASA personnel as part of official duties or because of official status while these personnel were employed by or on behalf of NASA.

> ***Note***: If an employee or a former employee receives a subpoena, an order, or an authorized request for official information, or for their appearance and testimony, issued as the result of a legal proceeding, that employee may not disclose official materials or information or testify regarding the same without prior approval of the General Counsel or designee.

Organizational Records Coordinator: The Organizational Records Coordinator serves as the organizational point of contact with the JSC RM and disseminates records management information on matters concerning maintaining, using, and disposing of organizational records to the records custodians within the organization.

Organizational Record Series Inventory: Listing of all records series held by the organization, together with their associated administrative data reported on JF1229 by the same name.

Originator (ORIG): Person or organization that creates a record.

Permanent Record: Records appraised by NARA and NASA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called archival records.

> ***Note***: Permanent or unscheduled records will not be loaned to non-Federal recipients without prior written approval from NASA.

Personal Papers: Documentary materials belonging to an individual that are not used to conduct Agency business. Related solely to an individual's own affairs or used exclusively for that individual's convenience. They be clearly designated as such and kept separate from the Agency's records. Examples are:

- Materials accumulated by an official before joining Government service.
- Materials relating to an individual's private affairs (e.g., outside business pursuits, professional affiliations, or private political associations).
- Diaries, journals, personal correspondence, or other personal notes that are not prepared or used for, or circulated or communicated, in the course of transacting Government business.

- Personal papers kept in official files may be considered Agency records in the event of a Freedom of Information Act (FOIA) request and are subject to disclosure.
- If information about private matters and Agency business appears in the document, the document should be copied at the time of receipt, with the personal information deleted, and treated as a Federal record. Materials labeled as personal, confidential, private, or similarly designated and used in the transaction of public business are Federal records subject to the provisions of pertinent laws and regulations.

Photograph: An image recorded on light-sensitive material, which includes still photographs, X-ray film, videotapes, and motion pictures.

Privacy Act Records: A record about an individual including, but not limited to, his/her education, financial transactions, medical history, and criminal or employment history and that contains his/her name or an identifying number, symbol, or other identifying particular assigned to the individual, such as a fingerprint, voice print, or photograph.

Program Records: Program records are those records created, received, and maintained by the Agency in the conduct of its mission functions for which the Agency is accountable. The term is used in contrast to administrative or housekeeping records. (See *Administrative Records*.)

Proprietary Records: Information about a business organization that the organization considers to be sensitive and consequently wants protected from public disclosure; e.g., a list of employees and their salaries that a business organization submits to the Agency during negotiations for a contract.

Quality Records: Quality records are a subset of records that an organization may choose to identify as such because they provide objective evidence of the extent of the fulfillment of the requirements for quality or the effectiveness of the operation of a quality system element.

Record: A document or data item that furnishes objective evidence of activities performed or results achieved. (See Federal Records.)

Records Center: A facility for low-cost storage and servicing of records pending disposal or transfer to the National Archives. This includes NARA-authorized Agency records centers and NARA-operated FRCs.

Records Coordinator: (See Organizational Records Coordinator.)

Records Creation: The first stage of the records life cycle where records are made (or received) by an office.

Records Custodian: Individual responsible for the management and control of Federal records.

Records Life Cycle: See *Life Cycle of Records*.

Records Management: Planning, controlling, directing, organizing, training, promoting, and other managerial activities related to creating, maintaining, using, and disposing of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of Agency operations. Also called records administration.

Records Management Program: A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses creating, maintaining, using, and disposing of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, publicizing the program, and carefully evaluating results to ensure adequacy, effectiveness, and efficiency.

Records Schedule: A document that provides mandatory instructions for what to do with records (and non-record materials) no longer needed for current Government business and also provides authority for final disposition of recurring or nonrecurring records. Also called records disposition schedule, records control schedule, records retention schedule, records retention and disposition schedule or schedule. (See NPR 1441.1, as revised.)

Record Series: File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Generally handled as a unit for disposition purposes.

Reference Material: May include copies of publications, special reports, periodicals, etc., required by the accumulating office as a reference library. These materials should be evaluated, and only those that are current and of significant reference value should be filed. See also *Non-record Material*.

Report: Data or information transmitted to be used for determining policy; planning, controlling, and evaluating operations and performance; making administrative decisions; or preparing other reports. Data or information may be in narrative, statistical, graphic, or other form, and may be on paper, magnetic tape, or other media.

Restricted Records: See *Classified Records*, *Privacy Act Records*, and *Proprietary Records*.

Retention Schedule: See Records Schedule.

Rights-and-Interest Records: Vital records essential to protecting the rights and interests of an organization and of the individuals directly affected by its activities. See also *Vital Records*.

Series: File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a record series or a file series. Generally handled as a unit for disposition purposes.

Store: To file active records.

Temporary Records: Records approved by NARA for disposal, either immediately or after a specified retention period. Also called disposable records or nonpermanent records. Includes records with a long-term retention (e.g., records destroyed when 25 years old).

Transfer: The act or process of moving records from one location to another, especially from office space to Agency storage facilities or FRCs, from one Federal agency to another, or from office or storage space to the National Archives for permanent preservation.

Transitory Correspondence: Correspondence relating to matters of short-term interest, such as acknowledgments for publications received, routine inquiries for publications, and announcements of savings bond campaigns. Contrast with administrative and program correspondence making up general correspondence files. Also called transitory files.

Unscheduled Records: Records whose final disposition has not been approved by NARA.

> ***Note:*** These records must be treated as permanent records until a schedule is proposed on NF-1418 and approved by NARA.

Vital Records: Records essential to the continued functioning or reconstitution of an organization during and after an emergency. Also those records essential to protecting the rights and interests of an organization and of individuals directly affected by its activities. Sometimes called essential records. Includes both emergency operating and rights-and-interests records. Vital records considerations are part of an Agency's records disaster prevention and recovery program.

Vital Records Custodian: Individual responsible for the control and protection of their organization's vital records.

Working Files: Documents such as preliminary drafts, rough notes, calculations, and other similar materials assembled or created and used to prepare or analyze other documents. Also called *working papers*. These should be maintained for adequate and proper documentation if:

They were circulated or made available to employees, other than their creator, for official purposes (such as approval, comment, action, recommendation, follow-up) or to communicate with Agency staff about Agency business.

They contain unique information, such as substantive annotations or comments, that adds to a proper understanding of the Agency's formulation and execution of basic policies, decisions, actions, or responsibilities.

APPENDIX C: Abbreviations and Acronyms

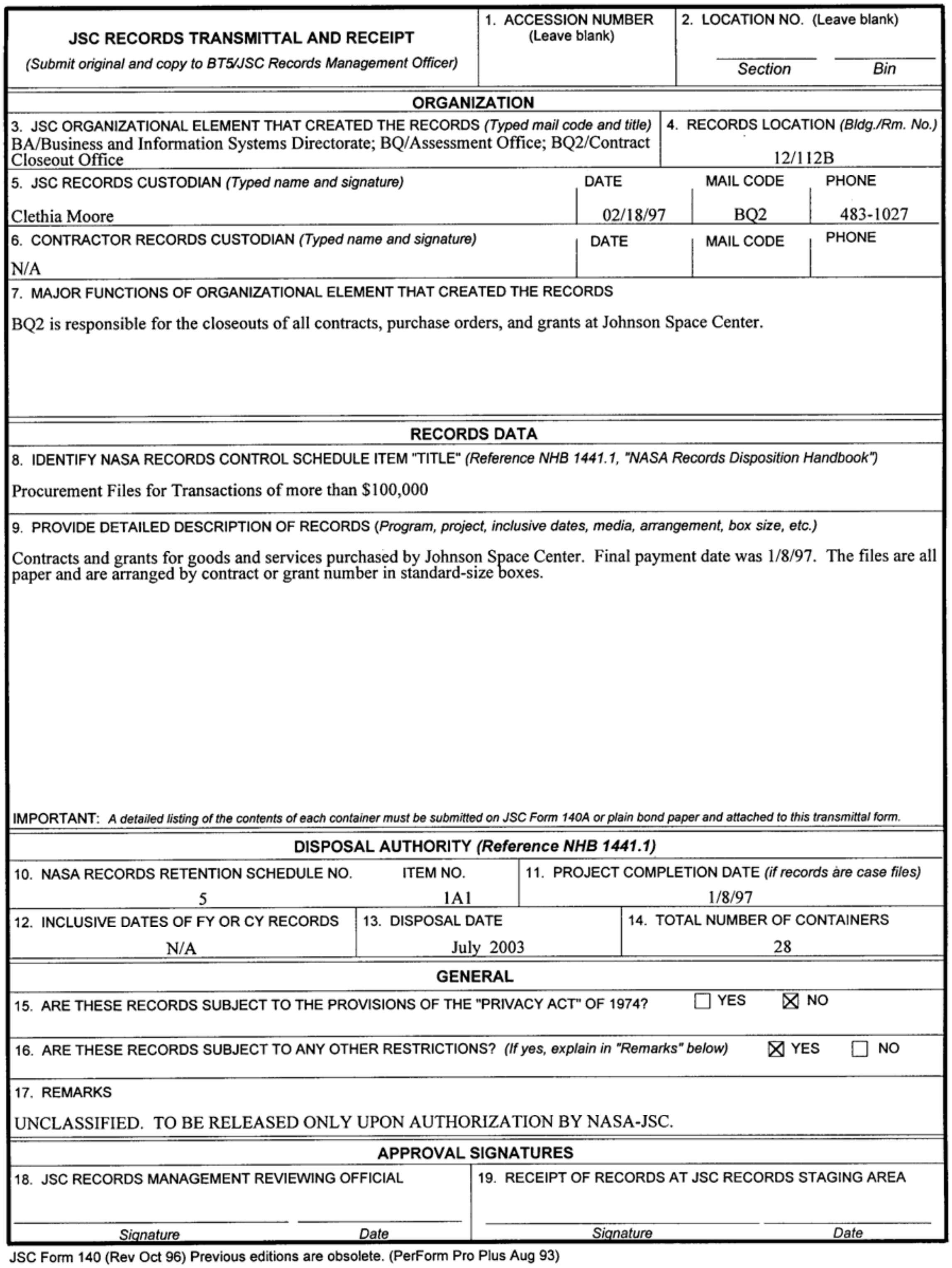
ADP	automatic data processing
AFS	Agency filing scheme
DLO	directorate-level organization
EPR	emergency planning representative
FOIA	Freedom of Information Act
FRC	Federal Records Center
GAO	General Accounting Office
GRS	general records schedules
GSA	General Services Administration
IRD	Information Resources Directorate
JPD	JSC policy directive
JPR	Johnson Space Center Procedural Requirements
JSC	Lyndon B. Johnson Space Center
NARA	National Archives and Records Administration
NPD	NASA policy directive
NPR	NASA procedures and requirements
NRRS	NASA records retention schedules
RM	records manager

APPENDIX D: Forms

Appendix D contains a listing of forms mentioned throughout this guide. All forms may be accessed from the JSC Home Page, http://forms.jsc.nasa.gov/. Contact the JSC Records Manager for assistance in completing these forms.

Form No.	Title
JSC Form 1229	Organizational Records Series Inventory
JSC Form 140	JSC Records Transmittal and Receipt
JSC Form 140A	JSC Records Transmittal and Receipt (Continuation Sheet)
JSC Form 195	Request for Shipment of Printed Matter
JSC Form 235	Review of Shipment Checklist
JSC Form 670A and 670B	Identification and Location of Vital Records
NASA Form 1418	Proposed Change to NASA Records Control Schedule
Optional Form 11	Reference Request – Federal Records Centers
Optional Form 21	Cross Reference
Optional Form 22	Continuity Reference
Optional Forms 23, 24, or 25	Chargeout Record
Standard Form 115	Request for Records Disposition Authority
Standard Form 135	Records Transmittal and Receipt

APPENDIX E: Example of JSC Form 140, JSC Records Transmittal and Receipt



JSC RECORDS TRANSMITTAL AND RECEIPT

(Submit original and copy to BT5/JSC Records Management Officer)

1. ACCESSION NUMBER (Leave blank)

2. LOCATION NO. (Leave blank)

Section *Bin*

ORGANIZATION

3. JSC ORGANIZATIONAL ELEMENT THAT CREATED THE RECORDS *(Typed mail code and title)*

BA/Business and Information Systems Directorate; BQ/Assessment Office; BQ2/Contract Closeout Office

4. RECORDS LOCATION *(Bldg./Rm. No.)*

12/112B

5. JSC RECORDS CUSTODIAN *(Typed name and signature)*	DATE	MAIL CODE	PHONE
Clethia Moore	02/18/97	BQ2	483-1027

6. CONTRACTOR RECORDS CUSTODIAN *(Typed name and signature)*	DATE	MAIL CODE	PHONE
N/A			

7. MAJOR FUNCTIONS OF ORGANIZATIONAL ELEMENT THAT CREATED THE RECORDS

BQ2 is responsible for the closeouts of all contracts, purchase orders, and grants at Johnson Space Center.

RECORDS DATA

8. IDENTIFY NASA RECORDS CONTROL SCHEDULE ITEM "TITLE" *(Reference NHB 1441.1, "NASA Records Disposition Handbook")*

Procurement Files for Transactions of more than $100,000

9. PROVIDE DETAILED DESCRIPTION OF RECORDS *(Program, project, inclusive dates, media, arrangement, box size, etc.)*

Contracts and grants for goods and services purchased by Johnson Space Center. Final payment date was 1/8/97. The files are all paper and are arranged by contract or grant number in standard-size boxes.

IMPORTANT: *A detailed listing of the contents of each container must be submitted on JSC Form 140A or plain bond paper and attached to this transmittal form.*

DISPOSAL AUTHORITY *(Reference NHB 1441.1)*

10. NASA RECORDS RETENTION SCHEDULE NO.	ITEM NO.	11. PROJECT COMPLETION DATE *(if records are case files)*
5	1A1	1/8/97

12. INCLUSIVE DATES OF FY OR CY RECORDS	13. DISPOSAL DATE	14. TOTAL NUMBER OF CONTAINERS
N/A	July 2003	28

GENERAL

15. ARE THESE RECORDS SUBJECT TO THE PROVISIONS OF THE "PRIVACY ACT" OF 1974? ☐ YES ☒ NO

16. ARE THESE RECORDS SUBJECT TO ANY OTHER RESTRICTIONS? *(If yes, explain in "Remarks" below)* ☒ YES ☐ NO

17. REMARKS

UNCLASSIFIED. TO BE RELEASED ONLY UPON AUTHORIZATION BY NASA-JSC.

APPROVAL SIGNATURES

18. JSC RECORDS MANAGEMENT REVIEWING OFFICIAL

Signature *Date*

19. RECEIPT OF RECORDS AT JSC RECORDS STAGING AREA

Signature *Date*

JSC Form 140 (Rev Oct 96) Previous editions are obsolete. (PerForm Pro Plus Aug 93)

INSTRUCTIONS FOR COMPLETING JSC FORM 140

The purpose of a JSC Form 140 is to provide a description of records going to a Federal records center.

BLOCK 1 – Leave blank.

BLOCK 2 – Leave blank.

BLOCK 3 – Provide the organization code and title of each element in the JSC organization responsible for creating the records. Include Directorate, Office, Division, Branch, Section, Group, etc., if applicable, in descending order.

BLOCK 4 – Indicate the building and room number where the records are located.

BLOCK 5 – Provide the name and signature of the JSC records custodian responsible for the records. Also, give the current date and the custodian’s mail code and phone number.

BLOCK 6 – Provide the name and signature of the contractor records custodian responsible for the records (if there is one). Also, give the current date and the custodian’s mail code and phone number.

BLOCK 7 – Indicate the function of the organizational element that created the records. Try to include a short mission statement or a description of the element's responsibilities.

BLOCK 8 – This can be taken from the NASA Records Retention Schedule for your records. The "title" is written in bold letters under the heading "DESCRIPTION OF RECORD SERIES."

BLOCK 9 – Include the following information:

PROGRAM – Note the name of the Program if there is one.

PROJECT – Note the name of the Project if there is one.

INCLUSIVE DATES – Indicate the time span of the records being prepared for shipment.

MEDIA – Describe what the records are made of (paper, video tape, audio tape, etc.).

ARRANGEMENT – Give a description of how the records are arranged in the boxes (alphabetically, chronologically, by a numbering system, etc.)

BOX SIZE – Indicate the size of the boxes you are using.

Please answer as thoroughly as possible. If there is anything more that can be added about the records, please do so. Additional information always helps.

BLOCK 10 – This block asks for two things. You can find the "NASA Records Retention Schedule No." in bold letters in the upper corner of your retention schedule ("Schedule 1," "Schedule 2," etc.). You can find the "Item No." in bold in the left margin of your retention schedule (1, 2, 3, etc.).

BLOCK 11 – Indicate the date the project was completed or if it is an ongoing activity.

BLOCK 12 – Provide the earliest date and the latest date of the records in the shipment.

BLOCK 13 – Calculate the disposal date from the information supplied in the NASA Retention Schedule under the heading "MINIMUM RETENTION."

BLOCK 14 – Indicate the number of boxes being shipped.

BLOCK 15 – Check the appropriate box.

BLOCK 16 – This box is usually marked "YES."

BLOCK 17 – Unless the records are classified, this box should read "Unclassified. To be released only upon authorization by NASA JSC."

BLOCK 18 – Leave blank.

BLOCK 19 – Leave blank.

APPENDIX F: Example of Box Inventory Listing

BOX #		TITLE	BEG DATE	END DATE
1	A – 96	HCA FOR S/N 214 ACAT FOR S/N 202 & 214	02/20/96	02/26/96
2	B - 96	GCA/AAA FOR #1 – 6	02/28/96	03/01/96
3	C – 96	ACAT FOR S/N 200 & 203	03/11/96	03/13/96
4	D – 96	GCA/AAA FOR # 1-6	03/13/96	05/15/96
5	D – 96	GCA/AAA FOR # 1-6	05/15/96	05/17/96
6	E – 96 F - 96	GCA HEADINGS FOR 1-6	05/15/96	080/8/96
7	G - 96	GCA/AAA RUN FOR 1-24	10/03/96	10/11/96
8	H - 96	HCA I-LOAD	11/15/96	11/21/96
9	I - 96	PCA POST EPPROM BURN	11/21/96	12/19/96

ACRONYM'S LIST FOR ARCHIVING

PCS	Pre Calibration Alignment
AAA	Absolute Asmuth Accuracy
ACAT	Attitude Calibration & Accuracy Test
HCA	Hanger Calibration Analysis
PCS	Periodic Calibration Sequences
GCA	Gyro Compass Alignment
HS	Heading Stability
OPF	Orbiter Processing Facility